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# Rhode Island Ethics Commission

## 2009 YEARLY FINANCIAL STATEMENT

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RHODE ISLAND  
ETHICS COMMISSION  
10 JUL 28 AM 9:40

ALL QUESTIONS REFER TO THE CALENDAR YEAR JANUARY 1, 2009 THROUGH DECEMBER 31, 2009 UNLESS OTHERWISE SPECIFIED.

PLEASE ANSWER ALL QUESTIONS AND WHERE YOUR ANSWER IS "NONE" OR "NOT APPLICABLE" SO STATE. ANSWERS SHOULD BE PRINTED OR TYPED, and additional sheets may be used if more space is needed. For clarification of any question, read instruction sheet.

Note: If you are a state or municipal official or employee who is required to file a Yearly Financial Statement, a failure to file the Statement is a violation of the law and may subject you to substantial penalties, including fines. If you received a 2009 Yearly Financial Statement in the mail but believe you did not hold a public position in 2009 or 2010 that requires such filing, you should contact the Ethics Commission (See Instruction Sheet for contact information).

1. RAIMONDO GINA M  
NAME OF OFFICIAL (LAST) (FIRST) (INITIAL)

2. 525 ELMGROVE AVE PROVIDENCE, RI 02906  
HOME ADDRESS (STREET) (CITY/TOWN) (ZIP CODE)

MAILING ADDRESS (if different from home address)

3. List Public Position(s) you hold and governmental unit:

(PUBLIC POSITION) (MUNICIPALITY, STATE OR REGIONAL)

(PUBLIC POSITION) (MUNICIPALITY, STATE OR REGIONAL)

I was elected on \_\_\_\_\_ I was appointed on \_\_\_\_\_ I was hired on \_\_\_\_\_  
(date) (date) (date)

If you no longer hold a public position, state date of termination or resignation \_\_\_\_\_.

4. List elected office(s) for which you were/are a candidate in either calendar year 2009 or 2010 (Read instruction #4)

GENERAL TREASURER

5. List the following: NAME OF SPOUSE

ANDREW MOFFIT

6. List the names of any employer from which you, your spouse, or dependent child received \$1,000 or more gross income during calendar year 2009. If self-employed, list any occupation from which \$1,000 or more gross income was received. If employed by a state or municipal agency, or if self-employed and services were rendered to a state or municipal agency for an amount of income in excess of \$250, list the date and nature of services rendered. If the public position or employment listed in #3, above, provides you with an amount of gross income in excess of \$250 it must be listed here. (Do Not List Amounts.)

NAME OF FAMILY  
MEMBER EMPLOYED

NAME AND ADDRESS  
OF EMPLOYER OR OCCUPATION

DATES AND NATURE  
OF SERVICES RENDERED

PLEASE SEE ATTACHED

7. List the address or legal description of any real estate, other than your principal residence, in which you, your spouse, or dependent child had a financial interest.

NAMES

NATURE OF INTEREST

ADDRESS OR DESCRIPTION

NONE

8. List the name of any trust, name and address of the trustee of any trust, from which you, your spouse, or dependent child or children individually received \$1,000 or more gross income. List assets if known. (Do Not List Amounts.)

NAME OF TRUST: NONE

NAME OF TRUSTEE AND ADDRESS: \_\_\_\_\_

NAME OF FAMILY MEMBER  
RECEIVING TRUST INCOME: \_\_\_\_\_

ASSETS: \_\_\_\_\_

9. List the name and address of any business organization or other entity, whether for profit or non-profit, in which you, your spouse, or dependent child held a position as a director, officer, partner, trustee, or a management position.

NAME OF FAMILY MEMBER

NAME AND ADDRESS OF BUSINESS

POSITION

PLEASE SEE ATTACHED

10. List the name and address of any interested person, or business entity, that made total gifts or total contributions in excess of \$100 in cash or property during calendar year 2009 to you, your spouse, or dependent child. Certain gifts from relatives and certain campaign contributions are excluded. (See instruction #10)

NAME OF PERSON RECEIVING  
GIFT OR CONTRIBUTION

NAME AND ADDRESS OF PERSON OR ENTITY  
MAKING GIFT OR CONTRIBUTION

NONE

11. List the name and address of any business in which you, your spouse, or dependent child individually or collectively holds a 10% or greater ownership interest, or a \$5,000 or greater ownership or investment interest.

NAME OF FAMILY MEMBER

NAME AND ADDRESS OF BUSINESS

PLEASE SEE ATTACHED

12. If any business listed in #11, above, did business in excess of a total of \$250 in calendar year 2009 with a state or municipal agency, **AND** you are a member or employee of the agency or exercise direct or legislative control over the agency, list the following:

NAME AND ADDRESS  
OF BUSINESS

NAME OF AGENCY

DATE AND NATURE  
OF TRANSACTION

NONE

13. If any business listed in #11, above, was a business entity subject to direct regulation by a state or municipal agency, **AND** you are a member or employee of the agency or exercise direct or legislative control over the agency, list the following:

NAME AND ADDRESS OF BUSINESS

NAME OF REGULATING AGENCY

NONE

14. If you, your spouse, or dependent child individually or collectively acquired or divested a 10% ownership interest or a \$5,000 or greater ownership or investment interest in a business after January 1, 2010 and before the date you file this statement AND if said business was regulated by a state or municipal agency of which you are an employee or a member, or over which you exercise direct or legislative authority, list the following:

NAME AND ADDRESS OF BUSINESS

DESCRIPTION OF INTEREST (NOT AMOUNT)  
AND DATE ACQUIRED AND/OR DIVESTED

NONE

NAME OF REGULATING AGENCY

HOW REGULATED

15. If you, your spouse, or dependent child individually or collectively acquired or divested a 10% ownership interest or a \$5,000 or greater ownership or investment interest in a business after January 1, 2010 and before the date you file this statement, which did business in excess of \$250 with a state or municipal agency of which you are an employee or a member, or over which you exercise direct or legislative authority, list the following:

NAME AND ADDRESS  
OF BUSINESS

DESCRIPTION OF INTEREST  
DATE ACQUIRED AND/OR DIVESTED  
(DO NOT INCLUDE AMOUNT)

NAME OF STATE  
OR MUNICIPAL AGENCY

NONE

16. If you, your spouse or dependent child were indebted in an amount in excess of \$1,000 to any person, business entity or other organization other than (i) any person related to you, your spouse or dependent child at any time within the third degree of consanguinity, or (ii) a financial institution regulated by any state or by the United States where such indebtedness is secured solely by a mortgage of record on real property used exclusively as your principal residence, or (iii) any indebtedness arising from transactions involving credit cards, please list the following:

NAME AND ADDRESS OF DEBTOR

NAME AND ADDRESS OF LENDER

NONE

I certify under penalty of perjury, that this Financial Statement is a complete and accurate response to the questions presented as to the financial information and interests during the year 2009 of myself, my spouse, and my dependent children. I acknowledge that I may request an advisory opinion from the Ethics Commission as to my conduct under the Code of Ethics. I understand that a copy of the Code of Ethics will be provided to me at no cost upon request by contacting the Ethics Commission.

State of Rhode Island  
County of

Providence

SIGNATURE

Subscribed and sworn to before me at Providence, RI this 26 day of July 2010.

My Commission expires:

2/5/2011

SIGNATURE OF NOTARY PUBLIC

Deborah J. Kazlauskas

THIS STATEMENT WILL BE RETURNED IF IT IS NOT SIGNED AND NOTARIZED AND IF ANY  
QUESTION IS NOT ANSWERED.

**DEBORAH J. KAZLAUSKAS**  
Notary Public  
My Commission Expires 2/5/2011

**Rhode Island Ethics Commission  
2009 Yearly Financial Statement**

***Gina Raimondo***

6. *Gina Raimondo* 1/1/09-12/31/09  
Point Judith Capital (Venture Capital Investment Firm)  
50 Park Row West  
Providence, RI 02903

*Andrew Moffit* 1/1/09-12/31/09  
McKinsey & Company (Management Consulting Firm)  
75 Park Plaza- 3<sup>rd</sup> Floor  
Boston, MA 02116

1/1/09-12/31/09  
Providence Water Supply Board (Chairman of Board)  
552 Academy Ave  
Providence, RI 02908

9. *Gina Raimondo*  
Point Judith Capital – Partner  
50 Park Row West  
Providence, RI 02903

Women & Infants' Hospital- Trustee  
101 Dudley Street  
Providence, RI 02905

Crossroads RI—Board Vice Chair  
160 Broad Street  
Providence, RI 02903

New England Venture Capital Association- Director  
5 Wilson Avenue  
Belmont MA 02478

NABsys, Inc- Director  
349 Eddy St  
Providence, RI 02903

Novare Surgical Systems, Inc.- Director  
10440 Bubb Road, Suite A  
Cupertino, CA 95014

Spirus Medical, Inc. - Director  
1063 Turnpike St.  
PO Box 258  
Stoughton, MA 02072

SwissRay International, Inc.- Director  
One Tower Center Blvd  
East Brunswick, NJ 08816

*Andrew Moffit*

Providence Water Supply Board—Chairman  
552 Academy Ave  
Providence, RI 02908

11. *Gina Raimondo*

Point Judith Capital Administrators I, LLC  
50 Park Row West  
Providence, RI 02903

Point Judith Capital Administrators II, LLC  
50 Park Row West  
Providence, RI 02903

Point Judith Management Company  
50 Park Row West  
Providence, RI 02903

*Gina Raimondo and Andrew Moffit*

Abdiel Capital  
410 Park Avenue, Suite 530  
New York, NY 10022

*The following are publicly traded and quoted corporations, bonds or funds*

*Gina Raimondo and Andrew Moffit*

Barrick Gold Corp (Canada)  
Finning International, Inc. (Canada)  
Woodwards, Ltd (Australia)  
Banco Santander SA ADR (Spain)  
BASF SE ADR (Germany)  
Toyota Industries Corp (Japan)  
Dai Nippon Printing Co Ltd ADR (Japan)  
Linde AG (Germany)  
Sony Corp ADR (Japan)  
Mitsubishi Estate Co Ltd ADR (Japan)  
BHP Billiton Ltd ADR (Australia)  
Rio Tinto PLC ADR (U.K.)  
BNP Paribas ADR (France)  
TeliaSonera AB (Sweden)  
Vodafone Group PLC ADR (U.K.)  
LVMH Moet Hennessy Louis Vuitton SA ADR (France)  
Mitsubishi UFJ Financial Group Inc ADR (Japan)  
Henkel AG & Co KGaA ADR (Germany)  
BHP Billiton PLC ADR (U.K.)  
Zurich Financial Services AG ADR (Switzerland)  
Deutsche Post AG (Germany)  
National Grid PLC ADR (U.K.)  
Toyota Motor Corp ADR (Japan)  
L'Oreal SA ADR (France)  
British American Tobacco PLC ADR (U.K.)  
Israel Chemicals Ltd (Israel)  
Total Gabon (France)  
Diageo PLC ADR (U.K.)  
Singapore Telecommunications Ltd ADR (Singapore)  
All Nippon Airways Co Ltd (Japan)

BG Group PLC ADR (U.K.)  
 Danone ADR (France)  
 Tokio Marine Holdings Inc. ADR (Japan)  
 Assicurzioni Generali SpA (Italy)  
 HSBC Holdings PLC ADR (U.K.)  
 Imperial Tobacco Group PLC ADR (U.K.)  
 EDF SA (France)  
 Wolters Kluwer NV (Netherlands)  
 Hong Kong Exchanges and Clearing Ltd (Hong Kong)  
 Hutchison Whampoa Ltd ADR (Hong Kong)  
 Syngenta AG ADR (Switzerland)  
 Scottish & Southern Energy PLC ADR (U.K.)  
 UniCredit SpA (Italy)  
 PA Resources AB (Sweden)  
 Impala Platinum Holdings Ltd (South Africa)  
 Cia Brasileira de Distribuicao Grupo Pao de Acuc (Brazil)  
 POSCO ADR (Korea)  
 China Móbile Ltd ADR (China)  
 Lukoil OAO ADR (Russia)  
 Air China Ltd (China)  
 Cresud CASIF y A ADR (Argentina)  
 ICICI Bank Ltd ADR (India)  
 CNOOC Ltd ADR (China)  
 China Construction Bank Corp (China)  
 Telekomunikasi Indonesia Tbk PT ADR (Indonesia)  
 China Unicom Hong Kong Ltd ADR (China)  
 Petroleo Brasileiro SA ADR (Brazil)  
 Dreyfus Treasury Prime Cash Management

*Gina Raimondo*

Capital World Bond Fund-R3 (American Funds)  
 Equity Residential (U.S.)  
 Omega Healthcare Investors, Inc. (U.S.)  
 Home Properties, Inc. (U.S.)  
 Potlatch Cop (U.S.)  
 Douglas Emmett, Inc. (U.S.)  
 BioMed Realty Trust Inc (U.S.)  
 Franklin Street Properties Corp (U.S.)  
 Investors Real Estate Trust (U.S.)  
 Public Storage (U.S.)  
 Universal Health Realty Income Trust (U.S.)  
 Discover Bank CD (U.S.)  
 Capital One National Assnva CD (U.S.)  
 Goldman Sachs Bank USA CD (U.S.)  
 GE Capital Financial Inc Retail CD (U.S.)  
 Fidelity Cash Reserves (U.S.)  
 Simon Property Group Inc (U.S.)  
 AvalonBay Communities, Inc (U.S.)  
 Equity Residential (U.S.)  
 Vornado Realty Trust (U.S.)  
 Boston Properties, Inc. (U.S.)  
 ProLogis (U.S.)  
 Kimco Realty Corp. (U.S.)  
 National Health Investors, Inc. (U.S.)  
 Health Care REIT Inc. (U.S.)  
 Fidelity Cash Reserves (U.S.)

*Andrew Moffit*

McKinsey Retirement Inflation-Protected

McKinsey Retirement Special Situations

*Andrew Moffit and Cecilia Moffit*

Vanguard-Inflation-Protected Bond Option

*Andrew Moffit and Thompson Moffit*

Vanguard-Inflation-Protected Bond Option



**GENERAL OFFICER ADDENDUM**  
**TO 2009 FINANCIAL DISCLOSURE STATEMENT**

If you hold, or are a candidate for, a statewide general office (Governor, Lieutenant Governor, Secretary of State, Attorney General, General Treasurer), list all sources and amounts of income in excess of two hundred dollars (\$200), you received during calendar year 2009. R.I. Gen. Laws § 36-14-17(b)(2).

**SOURCE AND DESCRIPTION OF INCOME:**

**AMOUNT OF INCOME:**

(check one)

Name of Source: POINT JUDITH CAPITAL

Not more than \$1,000

\$1,001 to \$10,000

Address: 50 PARK ROW WEST

\$10,001 to \$25,000

\$25,001 to \$50,000

PROVIDENCE, RI 02903

\$50,001 to 100,000

Description: SALARY FOR INVESTMENT

\$100,001 to \$200,000

☒ \$200,001 to \$500,000

\$500,001 to \$1,000,000

MANAGEMENT SERVICES

More than \$1,000,000

**SOURCE AND DESCRIPTION OF INCOME:**

**AMOUNT OF INCOME:**

(check one)

Name of Source: STATE STREET BANK & TRUST

Not more than \$1,000

\$1,001 to \$10,000

Address: 1200 CROWN COLONY DRIVE  
#cc1-3

☒ \$10,001 to \$25,000

\$25,001 to \$50,000

QUINCY, MA 02169

\$50,001 to 100,000

Description: ORDINARY DIVIDENDS

\$100,001 to \$200,000

\$200,001 to \$500,000

FROM BROKERAGE ACCOUNT

\$500,001 to \$1,000,000

More than \$1,000,000

I certify under penalty of perjury that the information contained on this form, and on any attachments, is a complete and accurate listing of the sources and amounts of income exceeding \$200 that I received in calendar year 2009.

State of Rhode Island  
County of Providence

Signed

Date

July 26, 2010

Subscribed and sworn to before me at Providence, RI on the following date: July 26, 2010

My Commission Expires: 2/5/2011

Signature of Notary Public

Deborah Kayland

(Attach additional sheets if necessary)

**SOURCE AND DESCRIPTION OF INCOME:**

**AMOUNT OF INCOME:**  
(check one)

Name of Source: ABDIEL CAPITAL

Address: 410 PARK AVENUE, STE 530  
NEW YORK, NY 10022

Description: ORDINARY DIVIDENDS  
FROM INVESTMENT

Not more than \$1,000  
☒ \$1,001 to \$10,000  
\$10,001 to \$25,000  
\$25,001 to \$50,000  
\$50,001 to 100,000  
\$100,001 to \$200,000  
\$200,001 to \$500,000  
\$500,001 to \$1,000,000  
More than \$1,000,000

**SOURCE AND DESCRIPTION OF INCOME:**

**AMOUNT OF INCOME:**  
(check one)

Name of Source: CITIZENS BANK

Address: P.O. BOX 42001  
PROVIDENCE, RI 02940

Description: INTEREST

☒ Not more than \$1,000  
\$1,001 to \$10,000  
\$10,001 to \$25,000  
\$25,001 to \$50,000  
\$50,001 to 100,000  
\$100,001 to \$200,000  
\$200,001 to \$500,000  
\$500,001 to \$1,000,000  
More than \$1,000,000

**SOURCE AND DESCRIPTION OF INCOME:**

**AMOUNT OF INCOME:**  
(check one)

Name of Source: \_\_\_\_\_

Address: \_\_\_\_\_

Description: \_\_\_\_\_

Not more than \$1,000  
\$1,001 to \$10,000  
\$10,001 to \$25,000  
\$25,001 to \$50,000  
\$50,001 to 100,000  
\$100,001 to \$200,000  
\$200,001 to \$500,000  
\$500,001 to \$1,000,000  
More than \$1,000,000

**Voluntary disclosure of additional information  
Summary of 2009 household tax returns**

***Gina Raimondo and Andrew Moffit (filing jointly)***

Total gross income: \$761,885

Federal taxes paid: \$216,042

RI state taxes paid: \$43,323

MA state taxes paid: \$3441

Total taxes paid: \$262,806